GRANT APPLICATION KIT

HEALTH CARE FINANCING ADMINISTRATION

GRANT APPLICATION KIT

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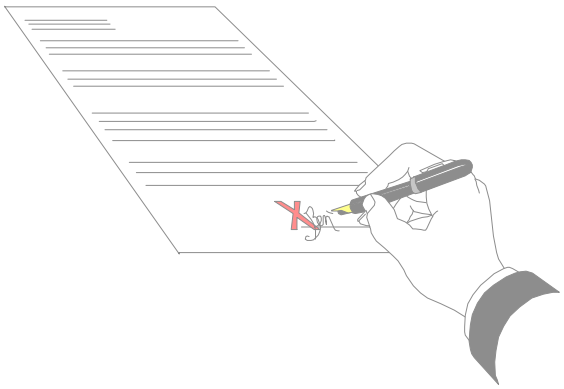
HCFA
Health Care Financing Administration

GENERAL INFORMATION
ON SUBMISSION OF RESEARCH AND DEMONSTRATION GRANT AND COOPERATIVE AGREEMENT APPLICATIONS



HCFA
Health Care Financing Administration

Prepared by:
Health Care Financing Administration
Office of Strategic Planning
March 1999

Office of Strategic Planning

INFORMATION ON SUBMISSION OF RESEARCH AND DEMONSTRATION GRANT AND COOPERATIVE AGREEMENT APPLICATIONS

The following are general policies and procedures related to the submission of grant and cooperative agreement applications for research and demonstration projects sponsored by the Health Care Financing Administration (HCFA), including unsolicited applications. Individual grant program announcements (e.g., the Small Business Innovation Research Program, the Dissertation Fellowship Grants Program) may specify different procedures.

ADDRESSES:

Standard application forms and related instructions may be requested by telephone, by calling (410) 786-5701 or 786-5130. Applications may be requested in writing from:

HCFA Grants Office
Health Care Financing Administration
Office of Internal Customer Support
Acquisition and Grants Group
7500 Security Boulevard C2-21-15
Baltimore, Maryland 21244-1850

All applications for HCFA grants and cooperative agreements also must be submitted to the above address.

CONTENTS OF THE APPLICATION:

Length The applicant should provide a brief (1 or 2 paragraph) abstract summarizing the objectives of the proposal. A summary, not to exceed 5 pages, of the proposed project must be included. This summary should discuss the project objectives, hypotheses to be examined, data to be used and their source(s), model type(s) and structure(s) to be used in analyses, resources available to conduct the project, and the amount and duration of support requested. The narrative portion of the application should be typewritten, single-sided, and should not exceed 50 (for a research proposal) or 80 (for a demonstration proposal) double-spaced pages, exclusive of resumes, forms, and so forth. Applications should be neither unduly elaborative nor contain voluminous or unnecessary documentation.

Number of copies An original signed application and 14 copies must be submitted. Medicaid State agencies are required to submit an original signed application and two copies. Additional copies--up to a maximum of 10--would assist in the processing of the application.

HCFA research priorities Applications that address one of the priority areas (if any) described in the announcement generally will receive preference. Where applicable, identify the pertinent priority area.

Evaluation criteria Applications that meet initial screening criteria will be reviewed by a technical review panel composed of at least three individuals. Reviewers will score the applications basing their scoring decisions and approval recommendations based on the evaluation criteria specified in the announcement. The following criteria are used to score unsolicited proposals. (Relative weights are shown in parentheses). Proposals should fully address each of these criteria.

Project methodology/design (40 points)

The application describes specific plans for conducting the project in terms of the tasks to be performed. It includes relevant information about: hypotheses to be tested (if applicable); concise and clear statement of goals and measurable/achievable objectives; what the project will do and how it relates to similar work done in the area; how the project will be conducted; data to be collected (including specification of data sources); plan for data analysis; and milestones/phases in the progress of the project. Specifically, the proposal should contain the following:

- A clear, quantifiable statement of the project goals and objectives.

- An explicit description of the research design, including the questions to be addressed and the methods and data to be used. The methodology must be well defined and scientifically valid.

- If the project is a demonstration proposal, the applicant should include separate sections on both the research design and the evaluation design. The research design section should include a detailed description of the payment methodology and other programmatic changes. The evaluation section should provide an indication of the applicant's understanding of the evaluation issues and the various approaches to them. Should an award be made, the applicant may be required to collect data in a standardized manner to facilitate evaluation efforts. We will have the option of determining whether the applicant or HCFA will be responsible for the evaluation.

- Demonstrations must contain a phase-down/phase-out plan that: (A) Ensures that Medicare and Medicaid beneficiaries, as well as any other project participants, are phased out of any special programs that were initiated and exist as payable or covered health services only under the auspices of the project, or ensures that plans are in effect to provide other care for the project participants by the date the project is scheduled to end; and (B) ensures that any new payment methods initiated by the project will cease to apply at the end of the project (that is, the project in and of itself cannot commit the Medicare or Medicaid programs to an indefinite use of the payment methodology beyond the end of the project).

- The tasks and milestones must be clearly described and must include a schedule of reports to be submitted to HCFA (Progress and Financial Reports as required by 45 CFR parts 74 and 92).

- The application must contain information specifying the availability of the data to be used, if data are to be collected. The discussion must describe the nature of the data sought, the sample design and size controls, comparisons of any data, and the problems that might be encountered in collection. Data that are collected under a HCFA cooperative agreement or grant must be available to HCFA or its agents. The applicant, however, must ensure the confidentiality of any personally identifiable information collected under the auspices of any HCFA cooperative agreement or grant. The application must contain detailed plans to protect the confidentiality of all information that identifies individuals under the project. The plan must specify that this information is confidential, that it may not be disclosed directly or indirectly except for purposes directly connected with the conduct of the project, and that in all cases where disclosure takes place for any purpose not directly connected with the conduct of the project, the informed written consent of the individual must be obtained.

- Projects that require waivers (for example those under section 1115(a) of the Act, section 222(a) of Public Law 92-603, as amended, and section 402(b) of Public Law 90-248, as amended) must define the services, list the waivers, discuss the implications if these waivers are granted, and state the effect on Federal, State, and local laws as well as the effect (beneficial or adverse) on individuals enrolled in the project. If the project involves both Medicare and Medicaid waivers, a request for Medicaid waivers from the State agency administering the Medicaid program must be included with the application. Applicants should contact HCFA for further information if questions arise in these cases.

Knowledge, experience, capability in area (20 points)

The application describes the applicant's prior experience in the area or in related areas. The principal investigator and other key staff are qualified and possess the experience in this or related areas and the variety of skills required to produce final results that are readily comprehensible and usable. The application should provide evidence of understanding and knowledge of prior and ongoing work in the area. Specific information also must be provided concerning how the personnel are to be organized in the project, to whom they will report, and how they will be used to accomplish specific objectives or portions of the project.

Level of effort (20 points)

The resources that will be needed to conduct the project are specified, including personnel, time, budget, and facilities. The staffing pattern clearly links responsibilities/levels of efforts to project tasks. The project's costs are reasonable in view of the anticipated results. Any collaborative effort (including subcontracts) with other organizations is clearly identified and written assurances included. A description by category (personnel, travel, consultants, and so forth) of the total of the Federal funds required is included. Funds are specified for each budget period. Specifically, the application should contain the following:

- Information specifying the availability of adequate facilities and equipment for the project or clearly state how these are to be obtained.

- The budget must be developed in detail with justifications and explanations for the amount requested. The estimated costs must be reasonable considering the anticipated results.

- Applicants are expected to contribute towards the project costs. Generally 5 percent of the total costs is considered acceptable. HCFA rarely approves grants or cooperative agreements for research or demonstration projects in which the Federal Government covers 100 percent of the project's costs. The budget may not include costs for construction or remodeling or for project activities that take place before the applicant has received official notification of our approval of the project.

- For demonstration projects involving waivers, budget estimates for administrative and service costs must be prepared in accordance with the prescribed methodology. Such applications also must contain estimates, prepared in accordance with the prescribed methodology in this announcement, of the amount of program and administrative expenditures that will occur under the waivers and a comparison of these expenditures to those that are projected to occur in the program in the absence of the waivers.

- Each application must include a statement that, if the project is awarded, the awardee will furnish quarterly reports of expenditures for administrative and program costs (and, for demonstration projects involving waivers, for service costs) for the project within the approved budget in the format to be specified under special terms and conditions in the cooperative agreement or grant.

Project objectives and expected outcomes (20 points)

How closely do the project objectives fit those of the solicitation? What is the intrinsic merit of the research/study? The need for the project is discussed in terms of the importance of the issues to be addressed and the particular project proposed, as well as how the proposed project

builds on and expands previous work in the area. The application should discuss plans for utilization of the project's results, for the potential usefulness of the anticipated results, and expected benefits to HCFA and other target groups.

UNSOLICITED APPLICATIONS

An *unsolicited grant application* is an application for a grant or cooperative agreement which is not within the scope of any existing HCFA program announcement (grant solicitation) issued or expected to be issued, but which is within the scope of HCFA's research and demonstration grant authority. "Unsolicited" means that the application is submitted on the applicant's own initiative, without prior formal or informal solicitation by any Federal Government official.

All grant applications submitted to HCFA, including unsolicited applications, should be mailed to HCFA's Acquisition and Grants Group (AGG) at the following address:

Grants Officer
Health Care Financing Administration
Acquisition and Grants Group, C2-21-15
7500 Security Boulevard
Baltimore, Maryland 21244-1850
(410) 786-5701

HCFA will screen the application for required elements to determine if it appears to be consistent with HCFA's area of authority, and whether it has sufficient merit to justify a technical review. If not, the application will be returned to the applicant.

If the application passes this initial screen, HCFA will convene a panel of governmental and/or nongovernmental independent reviewers with expertise in appropriate subject matter to evaluate the application. The panel will review the proposal, identify strengths and weaknesses, and recommend approval or disapproval. HCFA will decide whether or not to approve the application based on the panel's recommendation, consistency with HCFA research priorities, and availability of funds.

OTHER CONSIDERATIONS

Selection Criteria for Funding New Projects

An independent review of applications is conducted by a panel of not less than three experts. The panel generally includes experts from both the Federal government and the private sector. The panelists'

recommendations will contain numerical ratings (based on the specified rating criteria), ranking of all competing applications, and a written assessment of each application.

Although the recommendations of the technical review panels are a major factor in making the decision about an application, scores and recommendations are not the only factors. The compatibility of applications to HCFA's research as judged by HCFA leadership, the availability of funding resources, and the comments of other HCFA and Department staff are considered in making funding decisions.

Multiple Applications

The applicant should indicate if the same or a similar application has been submitted to another Department of Health and Human Services (HHS) agency for funding.

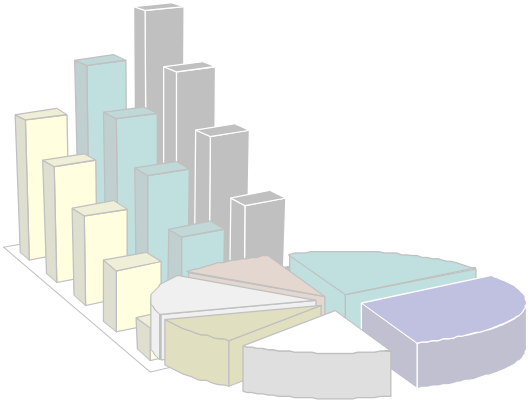
Cooperative Agreement and Grant Policies

If, following review of a proposed activity, we determine that a research or demonstration project presents a danger to the physical or mental well-being of a participant of the project, Federal funds will not be made available for that project without the written informed consent of each participant. Other policies, including responsibilities, awarding and payment procedures, special provisions, and assurances, may be found in 45 CFR parts 74 and 92.

It is a national policy to place a fair share of purchases with small, minority-owned, and woman-owned business firms. HHS is strongly committed to the objectives of this policy and encourages all recipients of its cooperative agreements and grants to take affirmative steps to ensure such fairness; in particular, recipients are encouraged to:

- place small, minority-owned, and woman-owned business firms on bidders' mailing lists,
- solicit these firms whenever they are potential sources of supplies, equipment, or services,
- where feasible, divide total requirements into smaller needs and set delivery schedules that will encourage participation by these firms, and
- use the assistance of the Minority Business Development Agency of the Department of Commerce, the Office of Small and Disadvantaged Business Utilization, HHS, and similar available State and local government agencies.

RESEARCH AND DEMONSTRATION GRANTS AVAILABLE FROM THE HEALTH CARE FINANCING ADMINISTRATION



HCFA
Health Care Financing Administration

Prepared by:
Health Care Financing Administration
Office of Strategic Planning
January 2000

Office of Strategic Planning

RESEARCH AND DEMONSTRATION GRANTS AVAILABLE FROM THE HEALTH CARE FINANCING ADMINISTRATION

The purpose of the Health Care Financing Administration's (HCFA) research and demonstration program is to conduct and support projects to develop, test, and implement new health care financing and payment policies and to evaluate the impact of HCFA's programs on its beneficiaries, providers, States, and other customers and partners. The scope of HCFA's activities embraces all areas of health care: costs, access, quality, service delivery models, and financing and payment approaches. (An overview of HCFA's research agenda is attached.) Much of HCFA's extramural research and demonstration activities are funded through contracts, but HCFA does award grants and cooperative agreements under several focused grant programs. In addition, HCFA periodically issues focused grant announcements inviting applications to participate in specific Medicare and Medicaid demonstration projects. Research and demonstration grant announcements expected in fiscal year (FY) 2000 are described below.

ANNUAL GRANT PROGRAMS

HCFA conducts the following special grant programs.

- Dissertation Fellowship Grants Program
- Small Business Innovation Research Grants Program
- Historically Black Colleges and Universities Grants Program
- Hispanic Health Services Research Grants Program

DISSERTATION FELLOWSHIP GRANTS PROGRAM

HCFA annually solicits applications and awards grants to a limited number of graduate students completing doctoral dissertations in various social science disciplines investigating health care financing and delivery issues. This grant support is designed to aid the career development of new health services researchers and to encourage individuals to study issues impacting the Medicare and Medicaid programs.

Schedule for FY 2001 Dissertation Fellowship Grants

-Grant announcement issued:	June 2000
-Deadline for submission of grant applications:	October 2000
-Announcement of awards:	January 2001

How to apply

To receive the announcement, application forms, and instructions (when available), contact:

HCFA GRANTS OFFICE
Health Care Financing Administration
Office of Internal Customer Support
Acquisition and Grants Group
7500 Security Boulevard
C2-21-15
Baltimore, Maryland 21244-1850
(410) 786-5701
Attn.: Marilyn Lewis-Taylor

OFFICE OF STRATEGIC PLANNING
Carl Hackerman
Health Care Financing Administration
Office of Strategic Planning
7500 Security Boulevard
C3-11-1 7
Baltimore, Maryland 21244-1850
(410) 786-6644
Internet: CHackerman@hcfa.gov

SMALL BUSINESS INNOVATION RESEARCH GRANTS

The Small Business Innovation Development Act of 1982, as amended, requires Federal agencies to reserve a portion of their extramural research and budgets for a Small Business Innovation Research (SBIR) Program. This SBIR Program is intended to stimulate technological innovation and increase private sector commercialization of innovations derived from Federal research and development. The principal purpose of HCFA's SBIR Program is to provide assistance to creative applicants so that innovation can be encouraged that will result in an improved health care financing and delivery system.

HCFA solicits grant applications and awards grants for its Small Business Innovation Research (SBIR) Program under a 2-year cycle. In the first year of the cycle, Phase I grants are awarded to establish the technical merit and feasibility of proposed research or demonstration projects and provide information to assess the quality of performance of the awardee organization before furnishing further Federal support in Phase II. Phase I grant awards are usually in the amount of approximately $50,000 for a period not to exceed 12 months. In the second year of the cycle, a limited number of the Phase I grantees receive additional funding to continue the research initiated in Phase I. During Phase II, the grantees actually create the proposed product and test it before marketing. Funding decisions are based on the results of Phase I and the technical merit of the Phase II application, including its potential for commercialization. (Only Phase I awardees are eligible to apply for Phase II funding.) Phase II awards are usually in the range of approximately $100,000 to 150,000, for a period normally not to exceed 12 months.

New Phase I grants will be awarded again in 2000. A notice of the availability of Phase I SBIR grant funds will be published in the Federal Register in the Spring of 2000. To receive the FY2000 announcement and application forms (when available), contact:

HCFA GRANTS OFFICE
Health Care Financing Administration
Office of Internal Customer Support
Acquisition and Grants Group
7500 Security Boulevard
C2-21-15
Baltimore, Maryland 21244-1850
(410) 786-7080
Attn.: Linda Bianco

OFFICE OF STRATEGIC PLANNING
Carl Hackerman
Health Care Financing Administration
Office of Strategic Planning
7500 Security Boulevard
C3-11-1 7
Baltimore, Maryland 21244-1850
(410) 786-6644
Internet: CHackerman@hcfa.gov

HISTORICALLY BLACK COLLEGES AND UNIVERSITIES GRANTS PROGRAM

The purpose of the Health Care Financing Administration's Historically Black Colleges and Universities (HBCUs) Grants Program is to: 1) encourage new health services researchers to pursue research issues that affect the Medicare and Medicaid programs; 2) assist HBCUs by supporting governmental and foundation research in the health services area for the African American community; 3) increase the pool of African American researchers available in carrying out the research, demonstration, and evaluation activities of HCFA; and 4) identify opportunities for HBCU Research Network Collaboration in the areas of research and program development.

Funding is available for grants to carry out research related to health care delivery and health financing issues affecting African American and other minority populations, including issues of: access to health care; utilization of health services; quality of services; health screening, prevention, and education; racial disparities; social-economic differences; managed care systems, and costs of care. To be eligible for grants under this program, an organization must be an HBCU and must meet one or more of the following basic requirements: 1) offer a Ph.D. or Master's Degree Program in areas such as Administration, Management, Allied Health, Nursing, Pharmacology, Public Health, Public Policy, Finance, Gerontology, Marketing, Health Care Administration, Social Work; or 2) have a School of Medicine; or 3) be a member of the HBCU Health Services Research Network; or 4) have the capacity to carry out research on health services delivery or financing issues relevant to the Medicare and Medicaid programs.

Schedule for FY2000 Grants

The FY2000 HBCU Grants Program solicitation will be mailed to HBCUs in the Spring of 2000. To receive the FY2000 announcement, application forms, and instructions (when available), or to obtain further information about this program, contact:

HCFA GRANTS OFFICE
Health Care Financing Administration
Office of Internal Customer Support
Acquisition and Grants Group
7500 Security Boulevard
C2-21-15
Baltimore, Maryland 21244-1850
(410) 786-5701
Attn.: Marilyn Lewis-Taylor

OFFICE OF STRATEGIC PLANNING
Richard Bragg, Ph.D.
Office of Strategic Planning
Health Care Financing Administration
Mail Stop C3-21-06
7500 Security Boulevard
Baltimore, Maryland 21244-1850
(410) 786-7250
Internet: RBragg@hcfa.gov

HISPANIC HEALTH SERVICES RESEARCH GRANT PROGRAM

The purpose of this program is to assist Hispanic researchers in carrying out Hispanic American health services research activities. This announcement invites applications for small research projects that will examine health services research issues related to the Hispanic population and, through this experience, enhance the capacity of Hispanic researchers to successfully compete for HCFA research and program funds in the future. The investigators should be associated with a university or college. HCFA expects to award a total of approximately $400,000 per year in total costs including both direct and indirect costs. We anticipate that most awards will be in the range of approximately $100,000 to $125,000 per year for a maximum of 2 years.

Schedule for 2000 Grants

The FY2000 Hispanic Research program announcement will be issued in the Spring of 2000. Awards will be announced in September 2000. To obtain further information about this program, contact:

HCFA GRANTS OFFICE
Ms. Marilyn Lewis-Taylor
Health Care Financing Administration
Mail Stop C2-21-15
7500 Security Boulevard
Baltimore, Maryland 21244-1850
(410) 786-5701

OFFICE OF STRATEGIC PLANNING
Richard Bragg, Ph.D.
Health Care Financing Administration
Mail Stop C-3-21-06
7500 Security Boulevard
Baltimore, Maryland 21244-1850
(410) 786-7250
Internet: RBragg@hcfa.gov

DEMONSTRATION GRANTS

HCFA occasionally issues special grant announcements inviting applicants to participate in specific Medicare and Medicaid demonstration programs. These grant announcements are mailed directly to all eligible organizations if these can be identified (e.g., announcements for Medicaid demonstration projects are mailed directly to all Medicaid State agencies), or are published in the Federal Register if all eligible applicants cannot be identified. The following grant announcements are planned in FY2000:

- Transitioning Persons from Institutions to the Community on a "Date Certain"/Fostering the Use of Home and Community-Based Services

TRANSITIONING PERSONS FROM INSTITUTIONS TO THE COMMUNITY ON A "DATE CERTAIN"/FOSTERING THE USE OF HOME AND COMMUNITY-BASED SERVICES

The Health Care Financing Administration will award several grants to State Medicaid agencies to develop and implement demonstrations to enhance choices available to supporting Medicaid beneficiaries in need of long-term care and their families by identifying and eliminating barriers to community living. States will develop mechanisms to work with individuals and their families prior to admission to an institution to consider community-based alternatives and/or mechanisms to transition individuals currently in institutions into the community, if that is their choice.

HCFA will award three to five grants under this initiative. Applications will be mailed to State Medicaid agencies in the Spring of 2000, with awards scheduled in September 2000.

For more information, contact:

HCFA GRANTS OFFICE
Health Care Financing Administration
Office of Internal Customer Support
Acquisition and Grants Group
7500 Security Boulevard
C2-21-15
Baltimore, Maryland 21244-1850
(410) 786-5701
Attn.: Marilyn Lewis-Taylor

CENTER FOR MEDICAID AND STATE OPERATIONS
Mary Jean Duckett
Director, Division of Benefits, Coverage and Payment
Disabled and Elderly Health Programs Group
S2-11-07
7500 Security Boulevard
Baltimore, Maryland 21244-1850
(410) 786-3294

Attachment A

HCFA RESEARCH AND DEMONSTRATION OBJECTIVES

The purpose of the Health Care Financing Administration's (HCFA) research and demonstration program is to conduct and support projects to develop, test, and implement new health care financing and payment policies and to evaluate the impact of HCFA's programs on its beneficiaries, providers, States, and other customers and partners. The scope of HCFA's activities embraces all areas of health care: costs, access, quality, service delivery models, and financing and payment approaches. HCFA's Fiscal Year 2000 research agenda involves the following major areas of research:

1. Medicare Health Plans: Enrollment, Delivery, and Payment

Recent years have seen rapid growth in the number of Medicare beneficiaries receiving their Medicare benefits through private health plans such as health maintenance organizations (HMOs). Since 1985, an increasing number of health plans have participated in Medicare under risk contracts whereby they have received a fixed monthly payment to provide full Medicare benefits for each beneficiary enrolled. HCFA's research plan includes projects to: assess responses of health plans to new capitation rates and eligibility requirements; assess responses of beneficiaries to changes in health plans and benefit packages; implement and evaluate demonstrations involving various applications of capitated payment; and implement and evaluate demonstrations in which Medicare's capitated payment covers both acute and long term care services.

2. Provider Payment and Delivery Innovations in Traditional Fee-for-Service Medicare

HCFA's research program has a long history of developing payment methods that encourage more cost-effective delivery of care. The most notable examples are case mix systems such as the diagnosis-related groups (DRGs) that form the basis of the hospital prospective payment system, ambulatory payment groups (APGs) for outpatient hospital care, and resource utilization groups (RUGs) for skilled nursing facility prospective payment. In addition, the resource-based relative value scale (RBRVS) used in the Medicare physician fee schedule was a product of HCFA's research program. HCFA's current research activities include projects to: implement and evaluate demonstrations that align hospital and physician incentives by making an all inclusive payment for hospital and physician services for specific inpatient episodes of care; evaluate current demonstrations of prospective payment for skilled nursing facility (SNF) and home health care and develop new payment systems for these services; study prospective payment for long term hospitals and rehabilitation facilities; continue research on an integrated post acute care system; implement and evaluate rural telemedicine demonstration projects; and implement and evaluate other innovative payment approaches.

3. Research on the Future of Medicare

Discussions about the financial viability of the Medicare Trust Funds often focus on the impact of the changing demographic profile which is principally attributable to the aging of the baby boom generation, comprised of individuals born between 1946 and 1964. Policy analysts have suggested a broad range of changes to the Medicare Program designed to decrease expenditures and raise revenues. HCFA requires more information in order to assess the impact of longer term structural reforms of the Medicare Program necessary to deal with the dramatic increase in the number of beneficiaries. HCFA plans to conduct research projects related to: examine alternative benefit packages for the traditional Medicare fee-for-service program; effects of eligibility changes on disabled and ESRD beneficiaries and on Medicaid and private insurance coverage; and effects of changes in the health status of future Medicare beneficiaries on their health care needs and costs.

4. Outcomes, Quality and Performance

Improving beneficiaries' knowledge and ability to make more informed health care choices, both in the health plans they select and in the services they use, is part of a long-term commitment by HCFA to change and improve communication of information to beneficiaries. HCFA's research agenda includes the development and testing of improved information resources that will enable consumers to choose among health plans and providers based on their relative value and quality. This agenda includes studies to provide a better understanding of how choices are made so that beneficiaries can use information most effectively, as well as projects to develop better tools for measuring health care outcomes and quality, as well as the performance of health plans and providers.

5. Vulnerable Populations, Medicaid, and Dual Eligibles

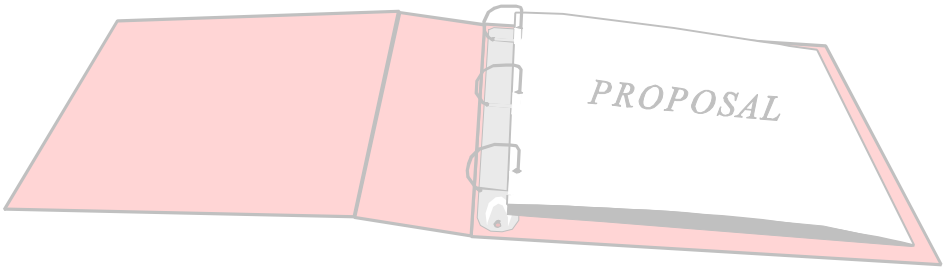
Certain populations face special challenges in attempting to meet their health care needs. For these vulnerable groups, new approaches are needed to address issues of access and the appropriateness of existing delivery systems and financing. Vulnerable populations include minorities, low-income persons, high-risk pregnant women and their infants and children, underserved individuals (including urban inner city and frontier rural residents, migrant workers, and refugees), as well as the frail elderly and persons with disabilities who require long term care services. A special focus of research and demonstration in this area is the development of coordinated care models that integrate the range of services available to persons dually eligible for Medicare and Medicaid. Our research agenda also includes studies to examine the effects of preventive services for children on outcomes and expenditures; study the effects of early intervention for Medicaid children with asthma; implement and evaluate the End-Stage Renal Disease Managed Care demonstration; extend

AIDS research to track utilization of Medicare beneficiaries; design a study to analyze reasons for barriers to care among vulnerable populations; implement and evaluate the Durable Medical Equipment Consumer Direct Purchasing demonstration; implement and evaluate demonstrations for the dual eligible population.

State Medicaid demonstrations present valuable opportunities to both State and Federal policy makers to refine and test policies that improve access to and quality of care for vulnerable Medicaid populations, and to more effectively manage the costs of providing that care. States can test new approaches to publicly supported health care by obtaining waivers of statutory requirements and limitations from the Secretary of the Department of Health and Human Services. HCFA's demonstration waiver authority permits States flexibility to test new ideas of policy merit through policy experiments that can be evaluated. HCFA also plans to develop data sets to track the effects of welfare reform, the Health Insurance Portability and Accountability Act of 1996, and the State Child Health Insurance Program.

PROJECT NARRATIVE SUGGESTIONS

FOR WRITING A HCFA COOPERATIVE AGREEMENT / GRANT PROPOSAL FOR A RESEARCH OR DEMONSTRATION PROJECT



HCFA
Health Care Financing Administration

Prepared by:
Health Care Financing Administration
Office of Strategic Planning
March 1999

Office of Strategic Planning

IMPORTANCE OF THE PROJECT NARRATIVE

The first and most important audience a grant / cooperative agreement applicant needs to reach are the peer reviewers who will read, evaluate, and pass judgment on the proposed study. Thus, the basic purpose of the applicant's proposal is to communicate his or her ideas to these reviewers, thoroughly and clearly. If the applicant cannot successfully outline his or her objectives, explain his or her study methods, or argue for the importance of his or her project, the proposal will most likely be disapproved on scientific and technical grounds.

Technical review panels are usually convened about a month after the closing dates specified in the Federal Register notice or program announcement. The panels generally consist of experts from HCFA, other Federal agencies, and academic and research institutions around the country. These experts represent a range of disciplines (e.g., economics and statistics, psychology and sociology, medicine and health policy). Applicants should assume that at least one reviewer on the panel is knowledgeable about the topics they want to investigate and the methods they propose to use in their investigation. But applicants should remember also that they must communicate with all panelists and that many panel members may not have specialized knowledge in their particular area.

The reviewers receive applications to be reviewed in advance and then meet for (usually) a day or two. In that time, they may discuss, critique, and vote on 10 to 20 or more proposals. This means that, often, proposals are read and reviews written under great time constraints. Therefore, it is important that the applicant make his or her proposal as clear and concise as possible, consistent with telling the full story about the intended project. Since there is a page limit for each application, the application, must be concise, yet thorough. Reviewers should be able to understand all of the following:

- What the applicant proposes to do;
- Why the applicant proposes to do it in the manner described;
- Why the enterprise is worthwhile, in its own right and to HCFA; and
- What new contributions the project offers (and how it is related to past or current work in the area).

Reviewers should not be confronted with extraneous material, excessively long literature reviews, or unsubstantiated claims about the project's relevance or importance.

In communicating to the panel members, one of the most critical sections of the proposal in trying to convince them that the project is worth investigation and that the applicant can handle the task is the Project Narrative, because it is the heart of the proposal and as such is given the most scrutiny by the review panel. Over the years, conventions have emerged about the structure of research applications, including standard outlines. The Project Narrative is no exception. Although the outline suggested below is not an absolute requirement, it is a commonly used guide for HCFA proposals. Thus, it is used here as the format for discussing the major points about preparing a good proposal.

APPLICATIONS FOR NEW GRANTS AND COMPETING CONTINUATIONS

PROJECT TITLE AND OBJECTIVES

The applicant should be clear and accurate in developing a title for his or her project. Find the key words, phrases, or descriptors that will highlight the population of interest, the medical problems of concern, and the health policy issues of importance, and then stop.

The objectives should pinpoint what the applicant plans to do and expects to achieve. They should be relatively few in number and listed in approximate order of priority or importance. Remember that what is stated as the applicant's objectives sets the framework and tone for judging what the applicant plans to achieve. Do not promise to study the world or to answer all the crucial questions in the area.

BACKGROUND AND IMPORTANCE

Background to the Project. This is in all likelihood where the applicant will put his or her literature review. It should be short, comprehensive and up-to-date. Basically, the objective here is to identify the gaps in knowledge or practice that the applicant's project will help correct. The applicant must show that he or she understands the important studies that form the foundation for the proposal and indicate how the project will go beyond them. The applicant is not expected to review all the relevant literature in great detail; if he or she is conversant with other bibliographies or literature reviews, they should be cited.

If there is no literature or body of knowledge in the area proposed for study, this should be stated. However, rarely does a project start *de novo*; so to be safe the applicant is still better off briefly considering the research closest to the proposed work. It also is important to show familiarity with HCFA-sponsored work. The literature review will presumably pick up relevant published articles or reports. For ongoing projects, one valuable source of reference is the HCFA publication called Active Projects Report: Research and Demonstrations in Health Care Financing , which is published annually. (This report can be downloaded from HCFA's Internet site at www.hcfa.gov/pubforms/pubpti.htm.) The application should indicate how the proposed work builds on earlier or current projects or addresses new problems not yet investigated through HCFA funding. This often provides a lead-in to the next subsection, "Importance of the Project."

Importance of the Project. There are two main points that should be addressed here: the significance of the question or issue proposed to be studied and the significance of the applicant's particular project. As to the former, HCFA's grant program announcements often highlight priority areas for HCFA-sponsored research. If the proposed topics fit into one of the areas specifically mentioned in the solicitation, the application should say so, because proposals in these areas receive priority for funding. This also assures that the proposal is reviewed by the appropriate review panel.

This is the place to make as strong a case as possible for the importance of the particular project being proposed: it may add to the general body of knowledge about a problem; it may expand the possible ways to organize and deliver health services to meet a particular human need; it may do both. The point is to marshal! a credible, straightforward argument for the important contributions the work will make.

RESEARCH QUESTIONS AND METHODS

Together with the subsection "Evaluation and Analysis Plan," this is the heart of the Project Narrative. Hence, the technical panel members will look to see if the applicant has:

- Identified the important effects or outcomes to study; and
- Designed the study in a way that will permit detection of those effects if they occur and determine the correct causal factors.

Hypotheses/Study Issues. If there are hypotheses to test, they should be stated explicitly. If there are no specific hypotheses, the application should discuss the issues that prompted the applicant to undertake the project.

Study Design. The basic objective here is to describe how the project will operate. The research methods will come under close scrutiny in any review. It is crucial that the timing and sequence of the project be clear in the reviewers' minds; often, including a descriptive diagram or flow chart at this point that makes the timeline clear will prove very helpful. Illustrative questions that should be addressed directly in the proposal are briefly noted below, but they do not necessarily exhaust the important dimensions of the study design that may be pertinent in a particular case:

- Variables to be studied:
- Population to be studied/sample to be used. (The discussion here relates to the important issue of the precision or power of the Study and the strength of its eventual conclusions, so the application should indicate here (or in an appendix) whatever power calculations might have been done to justify the sizes. Will the sample size permit accurate generalization to larger populations?)
- Data collection plans. (Describing fully the plans for gathering information is critical: What pieces of information are to be collected? Precisely from whom? How often? By what techniques? Are there alternative data collection methods or sources of information that have been considered but rejected? If so, explain why, especially if the ones dismissed might be less costly.)

Uppermost in the reviewers' minds may be the question of how each piece of information relates to the hypotheses to be tested, issues to be studied, or program to be demonstrated. The study design must present a chain of reasoning that is internally consistent--an unbroken set of links, so to speak. These links are critical and the following points are important:

- Give a good, specific description of the match between what is to be investigated and the particular data to be collected.
- Clarify what the dependent (or response) variables are, what the independent (or treatment or explanatory) variables are, and what factors may need to be measured or

accounted for because they might otherwise confound the analyses.

- If relevant, discuss the project's cross-sectional aspects (comparisons in one time period) and longitudinal aspects (comparisons over time).

- It should be clear by the end of this section that the applicant will not collect data for which there is no obvious use in the study and that the applicant will have obtained pertinent data for all the topics proposed to be addressed.

If the data collection instruments already exist in some form, consideration should be given to including them (or at least a subset) as an appendix. If the applicant is going to get help from persons knowledgeable about these instruments, such as the original developers, the application should so state.

If the applicant is developing his or her own measures or instruments, the application should state how their reliability and validity will be established. In this instance, the application should give at least some idea of what such forms might look like or what elements (e.g., individual illustrative questions) they might contain.

If interviewers, medical record abstractors, or other data collection personnel are to be used, the application should describe how they will be selected and trained. In addition the application should distinguish between two types of data that may be collected in the study: primary (gathered directly from subjects) and secondary (drawn from sources external to the direct data-gathering). If there are plans to draw on secondary data sources there should be a discussion of both their advantages and limitations for the project.

Data Collection Problems. If special data collection problems are foreseen, the application should indicate what they are and what efforts will be made to overcome them. It is better to show that consideration has been given to what the potential problems are rather than have reviewers assume that the applicant was not aware difficulties might arise.

Data Base Management. No matter how large the proposed study, the application should address explicitly how the data will be held, managed, and processed. (For example, who will have the main responsibility for organizing, storing, and archiving completed questionnaires? Who will maintain computer data tapes and make needed workfiles available to those who will analyze the data? How will the privacy of information on study participants be guarded and guaranteed?)

EVALUATION AND ANALYSIS PLAN

The plans for analyzing the data from the evaluation plan should be discussed here.

Analysis Plan. In this section, the application should explain, as clearly as possible, how the data to be collected will be used/analyzed. This section should convince reviewers that the proposed methods are consistent with the hypotheses/issues to be studied and the data to be collected, and it should persuade them that the quality and nature of the data will support the level of analysis planned.

Analytic Methods. This section should discuss specially what analytic methods are expected to be used to address which questions. It is often helpful to give examples of the analyses or to show what the tables of results might look like. Often, discussing hypothetical findings based on likely values of the data which will eventually be collected is a useful device for making the analysis plan seem less abstract. The goal is to try to aid reviewers in visualizing the data set that will be compiled, so that they can think along with the applicant about what methods of analyses seem appropriate and reasonable to address the hypotheses/issue to be studied.

Analytic Pitfalls. As with data collection efforts, it is better to acknowledge possible problems with the proposed analysis and the conclusions drawn from it and indicate how those that seem most troublesome would be overcome. It is also a good idea to consult a statistician, econometrician, or some other person well acquainted with basic research methodology when planning the design and analysis of the project.

PHASE-DOWN PLAN (Demonstration Proposals)

All demonstration proposals must include a section that describes how the proposed project will wind down; this can be discussed as part of the evaluation plan. The application needs to state how the applicant will ensure that there is a smooth transition from the end of a demonstration to whatever would come next (typically, no longer giving the services directly through the project). The applicant should indicate how and when program beneficiaries will be informed that the project is coming to an end.

WORK PLAN

Description of Tasks. The proposed work should be sufficiently well planned so that the applicant can specify a set of tasks that will cover all the activities needed to complete the project. The aim is to identify all the tasks to be accomplished regarding study design and analysis. In addition, note that one task will probably involve producing a final report. Every task noted here should have some corresponding description in the methods to show how it will be accomplished; every major activity targeted for completion should have a corresponding task.

Time Schedule. The application should provide a Gantt chart or some other diagram to illustrate when the tasks outlined above will be completed, in what order, and how long they are expected to take. This is commonly done in terms of elapsed months (e.g., for a 2-year Study, months 0 through 24 would be one axis of your chart). It is helpful to adopt some conventional symbols, such as an asterisk or triangle, to show when specific milestones are to be achieved.

Working out the time schedule may seem burdensome, but it helps avoid awkward problems that the reviewers may well detect.

Level of Effort of Personnel. This section is commonly shown as a table, in which the applicant lists the key individuals (by name or by role in the demonstration) and the number of days they will devote to each task.

For multi-year projects, the applicant should show total days in each year. Total days per year should be equivalent to whatever percentage of time is shown for these individuals in the budget document. Note that reviewers pay attention to these figures. Too little time for key personnel suggests that the applicant may have an unrealistically optimistic view of what can be accomplished.

PROJECT STAFF

Qualifications of Key Staff. To the extent possible, persons the applicant believes are crucial to a successful project should be named in this section. Even very good projects will look dubious to reviewers if the principal investigator or critical staff are "to be named." The qualifications of key personnel named in this section should be discussed. A paragraph or two per person describing his or her background and experience most pertinent to this project will suffice. (However, the full curricula vitae on all these individuals should be appended to the proposal.)

This or a parallel section could also be used to describe any experience the applicant has had in conducting similar projects, especially insofar as his or her experience will be available to provide backup and support to the key staff.

If the applicant has special data collection or analytic needs, this is the place to indicate that the applicant has the right personnel for the job. Often, these individuals can be consultants rather than project staff. For instance, the project may require a physician or psychologist for certain tasks and a statistician or economist for other tasks. To the degree possible, the application should indicate who these people are or say what types of individuals will be recruited later.

Subcontracting for very specialized work, such as abstracting medical records or conducting a survey, may be an option. In these instances, if the subcontractor arrangement has not already been settled, the applicant should be explicit about whom it has in mind or what criteria would be used to select a subcontractor.

ORGANIZATIONAL CHART

The application should state who is responsible for what sets of activities and how those individuals relate to one another and to the principal investigator and/or project director. For multi-site projects, it should also say who acts as the liaison across the sites. For projects involving subcontractors (such as the organization that does just the survey work or provides the particular services), the application should show which individual(s) are responsible for those subcontractors. It should be possible to indicate all this in a single organizational chart.

IMPLEMENTATION POTENTIAL

This is not a long section, typically, but it is an important one. It is where applicant discusses the expected use, generalizability, applicability, and dissemination of the work.

OTHER PARTS OF THE PROJECT NARRATIVE

There are certain other things that the applicant can do to make the proposal clear and easy for the reviewers. First, a Table of Contents for the Project Narrative section (including its appendices) is helpful, as is numbering the pages of the narrative. Second, the application should contain an Executive Summary, which should be short and yet should cover the critical points of what is proposed. Third, examples of data collection instruments and letters of support and commitments from professional organizations, local health facilities, or possible consultants can all be included as appendices. (However, the applicant should probably forego putting some things into the appendix. These include reprints of other work done and reprints of articles that other investigators have written. Presumably this material and experience has been covered in the literature review, so unless such information is critical to understanding the proposed project or substitutes for a technical appendix, it should be left out.) Finally, the references should be complete, accurate, and match what has been cited throughout the entire document.

NONCOMPETING CONTINUATION APPLICATIONS

In the narrative for noncompeting continuation applications, make whatever changes or additions to the original proposal are required to make it an up-to-date representation of the project. Include changes or modifications in project objectives and task description work plan and evaluation design, with substantiation of the reasons for the changes being made.

1. Discuss progress towards meeting the project's objectives covering the following points:

   (a) Accomplishments, findings, and products to date and a list in chronological order of the sequence of significant events and accomplishments. Explain any time lags in completing tasks and adhering to the work plan set out in original proposal, as per the project's time schedule.

   (b) Problems encountered, particularly with respect to methodology, sampling, and control group identification.

2. Discuss changes in project personnel and provide biographical information for new personnel.

REQUEST FOR CHANGES, AMENDMENTS. AND EXTENSIONS

1. For other requests for changes or amendments, explain the reason for the changes(s). For budget item changes requiring prior approval, explain and justify the change.

2. For supplemental (augmentation) assistance requests or administrative extension of project periods, explain the reason for the request and justify the need for additional funding or time with respect to the satisfaction of project objectives. Usually, this can be facilitated by discussion with the HCFA Project Officer/Grants Management Specialist prior to submittal of the formal request.

APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

	2. DATE SUBMITTED	Applicant Identifier
1. TYPE OF SUBMISSION:	**3. DATE RECEIVED BY STATE**	State Application Identifier
Application ☐ **Construction** ☐ **Non-Construction** Preapplication ☐ **Construction** ☐ **Non-Construction**	**4. DATE RECEIVED BY FEDERAL AGENCY**	Federal Identifier

5. APPLICANT INFORMATION

Legal Name:	Organizational Unit:
Address *(give city, county, State, and zip code):*	Name and telephone number of person to be contacted on matters involving this application *(give area code)*

6. EMPLOYER IDENTIFICATION NUMBER *(EIN):*

☐☐ — ☐☐☐☐☐☐☐☐☐

7. TYPE OF APPLICANT: *(enter appropriate letter in box)* ☐

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School Dist.
I. State Controlled Institution of Higher Learning
J. Private University
K. Indian Tribe
L. Individual
M. Profit Organization
N. Other (Specify) _____

8. TYPE OF APPLICATION:

☐ **New** ☐ **Continuation** ☐ **Revision**

If Revision, enter appropriate letter(s) in box(es) ☐ ☐

A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other *(specify):*

_____

9. NAME OF FEDERAL AGENCY:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

☐☐ — ☐☐☐

TITLE:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT *(Cities, Counties, States, etc.):*

13. PROPOSED PROJECT		**14. CONGRESSIONAL DISTRICTS OF:**	
Start Date	Ending Date	a. Applicant	b. Project

15. ESTIMATED FUNDING:

a. Federal	$ .00
b. Applicant	$ .00
c. State	$ .00
d. Local	$ .00
e. Other	$ .00
f. Program Income	$ .00
g. TOTAL	$ .00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:

DATE _____

b. No. ☐ PROGRAM IS NOT COVERED BY E. O. 12372
☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ **Yes** **If "Yes," attach an explanation.** ☐ **No**

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Type Name of Authorized Representative	b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed

INSTRUCTIONS FOR THE SF-424

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:
1.	Self-explanatory.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).
3.	State use only (if applicable).
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7.	Enter the appropriate letter in the space provided.
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: -- "New" means a new assistance award. -- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. -- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9.	Name of Federal agency from which assistance is being requested with this application.
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
12.	List only the largest political entities affected (e.g., State, counties, cities).
13.	Self-explanatory.
14.	List the applicant's Congressional District and any District(s) affected by the program or project.
15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate *only* the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$	$	$	$	$
2.						
3.						
4.						
5. Totals		$	$	$	$	$

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total
	(1)	(2)	(3)	(4)	(5)
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges *(sum of 6a-6h)*					
j. Indirect Charges					
k. TOTALS *(sum of 6i and 6j)*	$	$	$	$	$
7. Program Income	$	$	$	$	$

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Standard Form 424A (Rev. 7-97)
Prescribed by OMB Circular A-102

Previous Edition Usable

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	$	$	$	$
9.				
10.				
11.				
12. TOTAL *(sum of lines 8-11)*	$	$	$	$

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	**1st Quarter**	**2nd Quarter**	**3rd Quarter**	**4th Quarter**
13. Federal	$	$	$	$	$
14. Non-Federal					
15. TOTAL *(sum of lines 13 and 14)*	$	$	$	$	$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. TOTAL *(sum of lines 16-19)*	$	$	$	$

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

INSTRUCTIONS FOR THE SF-424A

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the Catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the Catalog program title on each line in *Column* (a) and the respective Catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Column (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Line 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount, Show under the program

narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

OMB Approval No. 0348-0040

ASSURANCES - NON-CONSTRUCTION PROGRAMS

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

ADDITIONAL ASSURANCES

CERTIFICATIONS

1. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The undersigned (authorized official signing for the applicant organization) certifies that it will provide a drug-free workplace in accordance with regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart F.

The certification set out below is a material representation of fact upon which reliance will be placed when HHS determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or governmentwide suspension or debarment.

Certification Regarding Drug-Free Workplace Requirements

The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about --
   (1) The dangers of drug abuse in the workplace;
   (2) The grantee's policy of maintaining a drug-free workplace;
   (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
   (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a) above;

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
   (1) Abide by the terms of the statement; and
   (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --

   (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

   (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.

2. CERTIFICATION REGARDING LOBBYING

Title 31, U.S. Code, Section 1352, entitled “Limitation on Use of Appropriated funds to Influence Certain Federal Contracting and Financial Transactions,” generally prohibits recipients of Federal grants and cooperative agreements from using Federal

(appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. These requirements apply to grants and cooperative agreements EXCEEDING $100,000 in total costs (45 CFR 93).

The undersigned certifies, to the best of his or her knowledge and belief, that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, ``Disclosure Form to Report Lobbying,'' in accordance with its instructions.

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

NOTE: In accordance with 45 CFR Part 76, amended June 26, 1995, any debarment, suspension, proposed debarment or other government exclusion initiated under the Federal Acquisition Regulation (FAR) on or after August 25, 1995, shall be recognized by and effective for Executive Branch agencies and participants as an exclusion under 45 CFR Part 76.

(a) Primary Covered Transactions

The undersigned (authorized official) signing for the applicant certifies to the best of his or her knowledge and belief, that the applicant, defined as the primary participant in accordance with 45 CFR Part 76, and its principles:

(1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(2) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(4) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local)

terminated for cause or default.

Should the applicant not be able to provide this certification, an explanation should be placed under the assurances page in the application package.

(B) Lower Tier Covered Transactions

The applicant agrees by submitting this proposal that it will include, without modification, the following clause entitled, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," (Appendix B to 45 CFR Part 76) in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB
0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. Type of Federal Action:	2. Status of Federal Action:	3. Report Type:
☐ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	☐ a. bid/offer/application b. initial award c. post-award	☐ a. initial filing b. material change **For Material Change Only:** year _____ quarter _____ date of last report _____

4. Name and Address of Reporting Entity:	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:
☐ **Prime** ☐ **Subawardee** Tier _____, *if known*: **Congressional District**, *if known*:	 **Congressional District**, *if known*:
6. Federal Department/Agency:	**7. Federal Program Name/Description:** CFDA Number, *if applicable*: _____
8. Federal Action Number, *if known*:	**9. Award Amount,** *if known*: $
10. a. Name and Address of Lobbying Registrant (*if individual, last name, first name, MI*):	**b. Individuals Performing Services** (*including address if different from No. 10a*) (*last name, first name, MI*):

11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less that $10,000 and not more than $100,000 for each such failure.

Signature: _____

Print Name: _____

Title: _____

Telephone No.: _____ Date: _____

Federal Use Only:

Authorized for Local Reproduction
Standard Form LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employeeof a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizationallevel below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

BIOGRAPHICAL SKETCH

(suggested format)

Provide the following information for all professional personnel who will be involved in the project. Use continuation pages and follow the general format for each person.

NAME	**TITLE**

ROLE IN PROPOSED PROJECT

EDUCATION (Begin with Baccalaurate training and include post-doctoral training.)

INSTITUTION AND LOCATION	DEGREE(S)	YEAR CONFERRED	PROFESSIONAL FIELD

RESEARCH AND PROFESSIONAL EXPERIENCE (Starting with present position, list training and experience relevant to the proposed project.)